

**Roles and Responsibilities**

**in the**

**Waste Management Bureau**

**Wisconsin Department of Natural Resources  
Division of Air and Waste Management  
Bureau of Waste Management**

**February, 2001**

# Table of Contents

## Roles and Responsibilities in the Waste Management Bureau

### **I. Introduction**

A summary of why we began this effort and what process we used to prepare this document.

### **II. Problem Statement / Concerns Expressed**

A summary of the information and opinions that were gathered to define the need for additional definition of roles and responsibilities.

### **III. Guiding Principles**

The underlying principles that the managers have agreed will guide our definition of roles and responsibilities

### **IV. General Roles by Position Title**

General descriptions of the roles and responsibilities of standing teams, team leaders, team sponsors, section chiefs, the bureau director and the Waste Management Team. Includes a matrix table showing the roles for each bureau function and position title.

### **V. Responsibilities for Management Functions**

Descriptions of how the various overall functions of the Waste Management program are assigned to standing teams, team leaders, team sponsors, section chiefs, the bureau director and the Waste Management Team.

### **VI. Summary / Evaluation**

Summary of how the identified problems regarding roles and responsibilities were addressed and a commitment to continued evaluation and improvement.

## I. Introduction

The use of teams in the DNR and changes to organizational structures in a number of the programs has required changes in roles and responsibilities of staff and managers throughout the Department. This is certainly true in the Bureau of Waste Management where a shift was made from program-based sections, to function-based sections and program-based statewide standing teams. This structure presents challenges and opportunities, or more to the point, changing structures results in trade-offs. The opportunities include better integration across our old program lines, decentralization of decision making and reliance on statewide teams as a major component of our management structure. One trade-off in moving to this type of organization includes the inevitable discomfort and uncertainty in going from a known structure, to one that is not known. It is also a structure where the ultimate responsibility and accountability for programs are less defined. In addition, communication in the matrix of teams may be more complicated. The inevitable question, which arose, was who did what work in each of the programs (solid waste, mining, recycling, and hazardous waste), and who had final accountability for ensuring that program operations occurred in an effective, cohesive manner. However, the benefits of the new structure are worth the trade-offs.

The team-based structure requires clear definition of the roles of teams and members, team leaders, team sponsors, section chiefs, sections and members, and the bureau director ensure that work occurs in an effective efficient manner, minimizing overlap and providing adequate program coverage and manageable workload. Lack of clarity of these roles and responsibilities has been a problem since the change was made in the Waste Management bureau. It has affected our ability to efficiently communicate not only within the program, but has also caused some confusion with communications by those from elsewhere within and from outside the agency. This lack of clarity has also caused inefficiencies within our program when staff and supervisors are unclear who should be consulted and where responsibility for a particular issue resides.

Beginning in June 1998, the bureau management team (BMT – team leaders, team sponsors/section chiefs, bureau director) and one of the South Central Region (SCR) team supervisors met on a regular basis to identify the issues around lack of clarity with the roles and responsibilities in the bureau. This effort included discussions to better define what roles exist in the bureau and whom has what responsibility for work done in the bureau. In other words, how is the day-to-day work in the bureau done, and by whom? Of particular interest was defining these responsibilities within the context of both specific program areas, and functional affiliation (e.g. who is responsible for overseeing policy development in the recycling program, or who is responsible for answering a technical issue related to hazardous waste management). Inherent in this discussion was also the concept of operating the bureau in an integrated fashion. This concept would allow the program to establish priorities across programs (solid waste, hazardous waste recycling, mining) thus allowing better workload management and better utilization of limited staff and financial resources. It is recognized that the sections have not been able to do everything they have been tasked in the new structure.

The group initially defined some of the concerns or problems with the team-based structure, relative to the structure that had been in place before the Department organizational changes. The expectation (sideboard) for these discussions was that the fundamental team-based structure would not be changed, and only minor modifications could be made. The emphasis of this effort has been to clarify responsibilities of the various roles created in the current structure. This involved working through several examples of work that comes into the bureau.

At the outset, this effort was intended to examine only the roles within the bureau (standing team leader, section chief, team sponsor, and bureau director). Some discussion of the role of the Waste Management Team (WaMT) was also necessary to ensure that the decision-making process was complete. A logical next step for this work, in addition to implementing these roles and responsibilities where needed, is to discuss them in a broader context across the state.

Finally, this is not a static process. As will be discussed later, we will operate for a period under these roles and responsibilities and evaluate program operations. Based on the evaluations, we will make adjustments, and continue the quality improvement process for ensuring a well managed and operated Waste Management bureau in the Department.

NOTE: When referring to the various sub-programs within Waste Management, the term “major program areas” is used. This refers to one of the following: hazardous waste, recycling, solid waste, mining or monitoring.

## **II. Problem Statement / Concerns Expressed**

As a first step in the process of defining roles and responsibilities, the BMT identified problems and concerns in the bureau. Several, but certainly not all, of the concerns identified by the BMT and SCR Team Supervisor are listed below. Even among these concerns, consensus did not exist within the group, as to the reason for the concern (i.e. was it caused by the structural change in the bureau organization, a problem in managing change, a lack of clarity of responsibilities, an on-going manifestation of an historic pre-organization problem, etc.).

1. Roles and responsibilities are unclear:
  - \* Between Team Leaders and Section Chiefs;
  - \* Amongst Section Chiefs; and
  - \* Between Teams and Sections (training, as an example).

Both the Regions and the public are confused on whom to call on a given issue and Bureau staff are frustrated.
2. We need to assess who should participate in which issues and decisions. Doing so will improve our management efficiency.
3. A great deal of responsibility and workload has been placed on Solid Waste, Hazardous Waste, and Recycling Team Leaders' shoulders. Given the size of these programs, concerns exist as to whether these Team Leaders can realistically be “points of integration” for their respective programmatic areas.
4. Assigning work and determining managerial responsibility for ensuring its completion have proven cumbersome and time consuming.
5. Under the current Bureau organizational structure and current staff assignments: Sections have less cohesion than they previously did; supervisors' interaction with staff is sometimes forced; evaluation of staff performance is difficult and time consuming; and the talents of some Central Office staff are not being fully utilized.
6. The current Bureau structure has not been fully implemented. Sections continue to operate primarily based on programs (hazardous waste, mining, recycling, solid waste), and not by functions.
7. The Bureau is not fully integrated across programs. The functionally aligned sections have not had the opportunity to promote integration and coordination across programs.
8. Waste program priorities, across all the programs, have not been established. Development of an integrated waste management vision is difficult under the current structure of the Bureau.

### III. Guiding Principles

As a consequence of identifying the above concerns, the BMT and the SCR Team Supervisor agreed to address the first of these concerns – roles and responsibilities within the bureau. In defining the various roles and the associated responsibilities, the BMT have agreed to certain underlying principles that allowed definition of the following:

1. General description of the various management roles in the bureau
2. Specific responsibilities for each role
3. A condensed matrix table of responsibilities for each role

The guiding principles include:

- 1. Actual staff assignments for work in the waste program are not limited to the work unit of the supervisor who makes the assignment.** In other words, if the Policy Section Chief has an assignment to make, they can request of another supervisor, that a staff person in another section or one of the regions provide that assistance.
- 2. Each section has a variety of skills, knowledges and talents in the staff assigned to that section.** A section is expected to have staff involved in all programs within waste management.
- 3. The work plan system sets the overall priorities for the waste program, and is the mechanism whereby program work is planned and evaluated.**
- 4. Team Leaders, in collaboration with their team and team sponsor, serve as the “gatekeepers” for the specific major program inquiries and work.** This does not mean that they are accountable for ensuring that the sub-program work is done, but facilitate decisions on where the work is completed, along with the supervisors in the program. The team leader does not make assignments, but works with supervisors and team sponsor on work priorities.
- 5. The standing and ad hoc teams recommend methods and procedures to ensure that the programs will be operated effectively in the state.** The standing teams may recommend development of processes so that the sub-programs are developed, implemented and maintained in an effective manner, and that commitments to external stakeholders are met (i.e. EPA, Technical Advisory Committees, etc). The standing teams, in close communication with the team sponsors, recommend policy development priorities, workload and consistency issues. The Waste Management Team (WaMT) uses these recommendations when making final decisions.
- 6. The statewide standing teams have limited time and, therefore, must concentrate on major issues.** The statewide standing teams need to deal with major issues based upon team workload priorities and overall program consistency and integrity. These major issues should generally be prospective - - dealing with the development of guidance and policy for future decisions. Issues that might be of high priority for a statewide team would include those involving new policy, consistency or new precedent.
- 7. Decision-making occurs at the lowest level possible within the parameters, boundaries, and sideboards, defined by the program roles and responsibilities, for any given decision.** We need to establish and use efficient methods and procedures for issue identification and resolution. This will enable us to resolve issues at the lowest possible level and involve only the minimum number of people necessary. Where issues of significance and precedence are raised, the appropriate standing or ad hoc team is consulted. If staff or teams can not resolve an issue, agreed upon dispute resolution processes are used.

*8. We will strive for consistent decision-making in all aspects of program implementation.*

*9. We will deal with issues professionally in a manner that respects the decisions of employees and their supervisors as well as valuing the role of teams.*

## **IV. General Management Roles within the Bureau Organization**

### **A. Standing Team Roles:**

The standing teams are responsible for providing recommendations to staff and the WaMT for the operation (policy, guidance, budget, implementation, training, etc.) of the major program area it represents. The teams recommend the framework and expectations on what needs to be accomplished within the sub-program (this is accomplished through the work plan process, and setting priorities), as well as expectations as to how the work should be done.

The standing teams define systems, with the WaMT, for ensuring program area consistency.

The standing teams develop action plans which the WaMT considers in order to define the overall work that needs to be done in the waste program. This is finalized in the work plan. The work plan also sets the overall priorities for the waste program.

The standing teams recommend systems and processes to the WaMT on how to ensure that the major program areas are developed, implemented and maintained in an effective manner. This does not mean that the team accomplishes all this work, but rather has the “big” picture on what would be needed for sub-program effectiveness. The WaMT is responsible for acting upon those recommendations.

For each specific team, the team charge should be consulted for more detail.

### **B. Team Leader Roles:**

The team leader is the major program area (i.e., HW, SW, and En. Monitoring, Mining, Special Waste, Recycling) “statewide coordinator” or “gatekeeper.” The team leader has the responsibility for directing requests/information to the appropriate person(s) for follow-up. This requires a high degree of judgment. The team leader does not have the authority to enforce assignments, make supervisor decisions, nor does the team leader bear ultimate responsibility for program performance (this is shared with the standing team, and the program management team – the WaMT).

The standing team leader is a principal point of contact for internal and external communication regarding the major program area. Team Leaders coordinate and oversee (not supervise) response to inquiries and, working with the WaMT, ensure major program area accountability (they are the “gate keeper” for the sub-program). The team leader evaluates work requests and inquiries to the Department, and determines whether it is an activity the team should complete, whether it should be forwarded to other staff, or if it needs action by a supervisor. If the team is to complete the work, team members agree on priorities and follow-up.

The primary role of the Team Leader is a coach ensuring the completion of the Team’s duties and assignments provided by the WaMT to the Standing Team. The Standing Teams and the Team Leaders work with the team sponsor and the WaMT to ensure effective management of the

program areas such as solid waste, hazardous waste and recycling. However, the team Leaders are responsible for bringing statewide program issues and problems from their Standing Team to their Team Sponsor, and as appropriate, the program management team. As a member of the WaMT, the Team Leader should also hear what's going on in other portions of the overall program and provide perspectives from his or her major program area.

### **C. Team Sponsor Roles:**

The team sponsor is responsible for supporting and assisting the team with its operations and acting as ombudsman for the team when appropriate. Note that the Standing Team Leader serves as the team sponsor for sub-teams under the standing team. Team sponsors assume an active role in providing guidance, management direction and communication with the statewide standing teams. This means that the team sponsor works with the team leader on each meeting agenda and frequently attend meetings of the statewide team in addition to the duties normally associated with team sponsors. The team sponsor also takes an active role, with the team leader, in the day to day bureau staff activities associated with these programmatic areas.

A statewide standing team or the team leader may bring unresolved statewide program issues and problems to the Team Sponsor for resolution. If the Team Sponsor is not able to resolve the issue or problem, they take it to the WaMT with the Team Leader for consideration and resolution. The Team Sponsor also shares the responsibility to advance team products and give team progress reports to the Waste Management Team in conduction with the Team Leader.

### **D. Section Chief Roles:**

The Section Chiefs are the program managers that are accountable for the management functions in the titles of their sections. Supervisors and staff in other sections may also perform work in those functional areas in a coordinated fashion. Where a Section Chief's functional responsibility (i.e., policy, planning and evaluation, etc.) overlaps with the responsibility of another team sponsor (i.e., HW, SW, RCY), the two individuals, in consultation with the Team Leader coordinate the assignment of duties among staff and supervisors. When appropriate, they also contact Regional Waste Team Supervisors to pursue participation of Regional staff.

Section Chiefs are supervisors in management positions and are responsible for 1) making formal work assignments, 2) individual performance evaluation, and 3) discipline of the staff under their charge. Section Chiefs support, encourage and facilitate the work of staff who operate both as members of the statewide standing teams, and as members of the section work units. Section Chiefs may also serve an additional role as team sponsors and supervisors of standing team leaders.

Each section chief is responsible for ensuring that the work is completed within their functional area, and for working with the regional supervisors and other section chiefs to make work assignments.

### **E. Section Roles:**

Section staff complete assignments aimed at development and implementation of various areas of the Waste Management Program. Much of this work involves the functional charge of their respective sections. However, as directed, section staff also work on standing teams and subteams and in functional areas outside of their section.

## **F. Bureau Director Roles:**

The bureau director supervises the Section Chiefs and represents the bureau on the Air and Waste Management Team. The bureau director is ultimately responsible for the performance of each Section and the Waste Management Program as a whole. The bureau director is the team leader for the WaMT.

## **G. Waste Management Team Roles:**

The WaMT sets strategic direction for the program, and while not a formal part of the bureau structure, is important to how the program, and consequently, the bureau functions.

The WaMT is responsible for addressing the issues that the standing teams raise to it for resolution, and is accountable for the decisions made in the program. Decision-making in the bureau/program is a shared responsibility by the entire team (composed of the bureau director, regional team supervisors and sub-team supervisors, standing team leaders and section chiefs). Each member of the WaMT is accountable for the decisions that are made; ensuring commitments are met, for resolving program issues in the major areas, that arise from the teams, and for acting upon recommendations from the teams.

The WaMT is responsible for making management decisions, which cover policy, implementation, training, etc. for the subprograms. The waste management team is collectively accountable for the operation of the subprograms. The waste management team works closely with staff and standing teams to assess the needs of the programs and act upon recommendations.

The WaMT approves the policies, work plans and other major work products of the program and its standing statewide teams. The WaMT may make requests for policy development and otherwise direct the teams to perform certain tasks that are in the overall interest of the WaMT and Program. The WaMT coordinates the direction of the standing teams to provide consistent and appropriate waste management policy and regulations.

The WaMT considers action plans, which the standing teams develop in order to define the overall work that needs to be done in the waste program. This will be finalized in the work plan. The work plan also sets the overall priorities for the waste program.

The WaMT establishes systems and processes to ensure that the sub-programs are developed, implemented and maintained in an effective manner. The WaMT is responsible for acting upon recommendations from the standing teams on these issues.

Regional and Bureau Waste Management supervisors also direct and perform work to implement specific aspects of the Waste Management Program work plan. Certain Regional supervisors also participate directly on standing teams.

The following page is a matrix which summarizes the information in this section



	Program Priorities /					
	<u>Budget</u>	<u>Work Assignments</u>	<u>Rule Development</u>	<u>Internal Policy and Guidance</u>	<u>Workplan Development</u>	<u>Dealing with Inconsistencies</u>
<b>Standing Team</b>	> Identify/recommend needs & priorities	> Establish team priorities and assignments > Seek supervisor approval if necessary	> Identify needs > Assure staff input > Recommend staff involvement > Comment on drafts	> Identify policy development needs > External guidance communication > Guidance development > Review draft guidance and submit recommendations	> Identify work activities and priorities > Monitors and evaluates progress	> Attempt consensus > Conflict resolution > Communicate conflicts to WaMT as necessary
<b>Team Leader</b>	> Coordinate team activities	> Coordinates/facilitates team meetings > Coordinates outside work > Liaison with WaMT	> Set rule related items on agenda > Identify problems meeting commitments & track progress > Assure adequacy of team input	> Identify policy development needs to the team > Identify problems meeting commitments > Present team issues to WaMT	> Coordinates action plan > Liaison to WaMT on work planning > Communicates team evaluations	> Assist team to resolve conflicts > Act as appropriate on reports of inconsistency problems
<b>Team Sponsor</b>	> Provides sideboards > Presents recommendations	> Assists with making team work assignments > Approves workload priorities > Advocates for outside assistance > Recommends team structure revisions	> Communicates team and rule development issues > Seeks commitment of outside resources > Provides sideboards and general direction	> Communicates team and rule development issues > Seeks commitment of outside resources > Provides sideboards and general direction	> Advocates team action plan recommendations > Facilitates work plan and staff assignment revisions	> Advise on conflict resolution as needed > Act as appropriate on inconsistency reports
<b>Section Chief</b>	PSSC - > Compiles recommendations > Coordinates proposals > Present to WaMT > Oversees & communicates spending status OSC > Manage work unit budgets	> Responsible for section assignments > Delegates appropriately within unit	PSC > Responsible for code development > Ensures adherence to rule making requirements and coordinates rule writing > Reviews pink, yellow and green sheet packages	PSC > Coordinates policy & guidance development > Arranges for outside resources as needed	PESC > Liaison with division efforts > Coordinates bureau work plan preparation > Facilitates WaMT review > Conflict resolution	> Ensure implementation conflicts are resolved > Document decisions > Identify consistency issues to BD
<b>Bureau Director</b>	> Provides guidance > Takes appropriate action > Develops proposals	> Directs priorities > Settles disputes > Administration liaison	> Provides policy guidance > Liaison to Air & Waste Team > Approves pink, yellow and green sheet packages	> Provides policy guidance > Liaison to Air & Waste Team > Approves guidance documents	> Develops objectives > Liaison between WaMT and A&W Team > Conflict resolution	> Receive implementation conflict resolution summaries > Ensure resolution is documented > Resolve conflicts with DA as needed
<b>WaMT</b>	> Provides guidance > Reviews/approves proposals > Implements program within budget	> Approves program priorities	> Approves program priorities > Reviews policy issues	> Sets guidance development sideboards > Reviews & approves guidance (passive)	> Reviews action plans > Reviews work plan and resolves issues > Communicates work plan changes if necessary	> Review and resolve conflicts if necessary > Document decisions

## V. Program Management Responsibilities

The following represent examples of how the generic roles and responsibilities described previously for a standing team, a team leader, a team sponsor, a section chief, the bureau director and the WaMT would apply with respect to particular management functions or activities.

### A. Budget

Standing Team: Each standing team identifies and recommends needs and priorities for new budget initiatives and for allotments (example: LTEs, contract work, equipment) within the major program area.

Team Leader: Coordinates team activities, provides budget sideboards received from Team Sponsor and WaMT.

Team Sponsor: Provides team with sideboards received from Program Services Section Chief and WaMT. Presents recommendations of team to the Program Services Section Chief who compiles them for the WaMT.

Section Chief: All Section Chiefs – identifies and recommends needs and priorities for new budget initiatives and for allotments. Program Services Section Chief - Compiles and coordinates program recommendations. Identifies any problems (i.e. over budgeting). Works with Bureau Director to develop preliminary budget proposal(s) for consideration by the Supervisors (Section Chiefs and Regional Supervisors). Program Services Section Chief and Bureau Director presents proposed budget to WaMT for approval and forwards to Division management. Program Services Section Chief also oversees spending in relation to available funding and notifies Supervisors of funding status on a routine basis. Notifies Bureau Director if funding problems are projected for the program as a whole or for individual budget units. Program Services Section Chief meets with each budget unit and standing team prior to the beginning of the budget process to explain process and expectations.

All Section Chiefs – Responsible for managing their work units within the approved budget.

Bureau Director: Provides Division guidance to Program Services Section Chief for distribution to Team Sponsors and Supervisors. Works with Program Services Section Chief to develop budget proposal(s). Takes appropriate actions with supervisors when their budgets aren't met.

WaMT: Identifies and recommends needs and priorities for new budget initiatives and for allotments. Provides guidance to Program Services Section Chief on program needs and priorities prior to start of budget process. Reviews proposed budget and recommend changes as appropriate. Approves budget. Implements program within existing budget.

### B. Work Assignments

Standing Team: Work priorities and assignments within the team are made by agreement within the team and coordinated by the team leader. When agreement cannot be reached, assistance from the Team Sponsor is sought. Work assignments within the team, which require a significantly higher level of time than normal team assignments will require concurrence from the team member's supervisor. Work requests of staff outside the team that are not significant workload items can be made by the team (through the Team Leader) with notification to the staff's supervisor. The supervisor makes the ultimate decision whether an assignment is made (and provides this decision to the Team Leader and Team Sponsor). If this presents significant issues

to the Team, the Team can raise this issue to the Team Sponsor for resolution. Significant workload items must be presented to and approved by the supervisor.

Team Leader: Coordinates team meetings and agendas and facilitates meetings. Acts as liaison to the team sponsor as necessary. Coordinates work assignments with staff outside the team and provides notification to supervisors. Acts as liaison between standing team and WaMT, including providing team activity reports to WaMT. The team leader provides recommendations to supervisors and staff regarding issues that can/should be handled by the team.

Team Sponsor: Follows up to assure that work assignments are made within the team or to others as necessary when team isn't able to effectively agree on assignments. Approves priority of workload within teams (generally the team will develop the priorities with assistance from the Team Sponsor). Advocates team requests for outside staff assistance with staff supervisors. Recommend changes to the team structure if necessary.

Section Chief: Responsible for all work assignments within their unit and for setting work priorities within their unit. They can (and should) delegate down decision making within reasonable side boards (i.e. a staff member on a team will be expected to commit to a certain percentage of time to team activities and those activities will be decided (in practice) by the individual and the team, but if a significant change in time commitment is necessary, it must be approved by the staff's supervisor, either formally or informally).

Bureau Director: Directs program priorities, which may help, set team priorities. Settles disputes between supervisors over work assignments. Acts as liaison to Administration.

WaMT: Approves program priorities, which help set work assignment priorities.

## **C. Rule Development**

(Note: The rule development process is specified in Manual Code in accordance with procedures described in the Revisor of Statutes Administrative Procedures Manual. A more detailed rule development process for the Waste Management Program in accordance with the following roles and responsibilities will be developed by May 1, 2001.

Standing Team: Identify needs for rule development. Recommend priorities for rules. Communicate with peers not on the team to assure staff input in rules. Recommend who ought to develop a rule and participate in its development (both internal and external). Comment on draft rule language. Identify work that individual team members commit to vs. work that others must do. Teams may be directed to complete specific assignments related to rule development.

Team Leader: Bring rule-related agenda items to the team such as priorities, status, request for feedback, etc. Identify problems that are encountered in meeting team commitments on rules to the team sponsor. Tracks progress on team commitments. Assures adequacy of team input and participation in the proposed rule.

Team Sponsor: Communicates with Policy Section Chief and staff(s) supervisor (i.e. a Section Chief or Regional Team Leader) if team commitments aren't being met. Seeks commitment of staff resources from outside the Team through the appropriate Section Chief or Regional Supervisor. Provides sideboards and general direction to the Team in cooperation with the Policy Section Chief. Communicates in conjunction with the Team Leader with the Policy Section Chief on rule development issues.

Section Chief: The Policy Section Chief has primary responsibility for rule development. This Section responsibility includes both carrying out administrative requirements for rule making and

coordinating rule writing. Administrative requirements include requests and notices to the Natural Resources Board and Technical Advisory Committees. Coordination consists mainly of assigning Policy Section staff to write and review rule drafts in conjunction with other staff who may be assigned, requesting supervisory authorization for assignment of other staff with desired expertise, and obtaining comments from legal staff and other programs. Reviews all administrative rule pink sheets, yellow sheets and green sheet packages for format, consistency and policy issues prior to bureau director approval. On certain issues, the Bureau Director may assign other section chiefs to participate in some or all of the rule development roles identified above for the Policy Section Chief.

**Bureau Director:** The Bureau Director provides overall policy guidance to the Team Sponsor and the Policy Section Chief. The Bureau Director conveys information to and policy direction from the Air and Waste Team (A&W Team) and represents the WaMT on the A&W Team. Approves Rule Authorization Pink Sheet after receiving recommendations for rule development by the standing team, team sponsor and policy section chief. Approves all yellow sheets for NR Board agenda items and approves all green sheet packages.

**WaMT:** The WaMT has responsibility to agree on overall program priorities and how development of individual rule packages fit in those overall priorities. The WaMT has the opportunity to review policy issues within rules prior to forwarding to the bureau director for sign off (“passive approval”).

## **D. Internal Guidance**

(Note: See the Manual Code on consistency for a definition of internal policy and guidance and a description of how it differs from rules.)

**Standing Team:** Identify needs for internal guidance development. Recommend priorities for guidance development. Communicate with peers not on the team the need for guidance and to assure staff input in guidance. Recommend who ought to develop a particular guidance document and participate in its development (both internal and external). Comment on draft guidance. Identify work that individual team members commit to vs. work that others must do. Submit draft guidance to Team Leader and to the WaMT.

**Team Leader:** Bring internal guidance related agenda items to the team such as priorities, status, request for feedback, etc. Identify problems that are encountered in meeting team commitments on guidance to the team sponsor. Tracks progress on team commitments. The team leader (or designated team member), along with the team sponsor, presents the draft guidance and Team Summary Report at a WaMT meeting for discussion. Team leaders may request WaMT authorization to form new teams to work on portions of a team charge or additional issues.

**Team Sponsor:** Communicates with Policy Section Chief and staff(s) supervisor (i.e. a Section Chief or Regional Team Leader) if team commitments aren’t being met. Seeks commitment of staff resources from outside the Team through the appropriate Section Chief or Regional Supervisor. Provides sideboards and general direction to the Team in cooperation with the Policy Chief. Communicates in conjunction with the Team Leader with the Policy Section Chief on guidance development issues.

**Section Chief:** The Policy Section Chief has primary responsibility for coordinating internal policy (guidance) development: to carry out administrative requirements for creating guidance and coordinate guidance writing. Principal administrative requirements include adopting guidance, and ensuring guidance is placed in the appropriate guidance document system, and staff and external stakeholders are notified. Coordination includes providing staff support to Standing Teams and assigning Policy Section staff to guidance development tasks as staffing and priorities allow. This

coordination function also includes requesting supervisory authorization for assignment of other staff with desired expertise, and obtaining comments from legal staff and other programs.

**Bureau Director:** The Bureau Director provides overall policy guidance to the Team Sponsor and the Policy Section Chief. The Bureau Director also conveys information to and policy direction from the Air & Waste Management Team and represents the WaMT on the A&W Management Team. The bureau director signs off on all guidance to assure that the program has adopted the guidance document.

**WaMT:** The WaMT sets sideboards and criteria for guidance, which is under development. The Waste Management Team has responsibility to agree on overall program priorities and how development of individual guidance packages fit in those overall priorities. The WaMT has the opportunity to review guidance prior to it's being adopted ("passive approval") and placed in the guidance access system. Approval of guidance may occur outside of routinely scheduled meetings or if conflict resolution is required, it may occur at such meetings

## **E. Program Priorities / Workplan Development**

**Standing Team:** Identifies and recommends major work activities and priorities for the program area in Team Action Plans during biennial work plan development. For activities the Team leads, the Team periodically monitors and evaluates progress on completing work activities and provides feedback to the Waste Management Team through the team leader or the team sponsor, on adjustments needed in the work plan.

**Team Leader:** Coordinates development of Team Action Plan, participates in WaMT work planning process, provides feedback to the Team on WaMT decisions that affect priorities and level of effort for the program area. Shares periodic monitoring/ progress evaluation updates with everyone who contributes to those work efforts (Team members and others). In cooperation with the Team Sponsor and the Bureau Director communicates with EPA on program priority issues that are reflected in the EPA/WDNR Environmental Performance Partnership Agreement and federal grant guidance. Communicates this information to the Team.

**Team Sponsor:** Advocates for recommendations of Team Action Plan and approved work plan at WMT meetings. Facilitates discussion with supervisors to make changes to the work plan, changes to priorities and changes to staff assignments. In cooperation with the Team Leader and the Bureau Director communicates with EPA on program priority issues that are reflected in the EPA/WDNR Environmental Performance Partnership Agreement and federal grant guidance. Communicates this information to the Team.

**Section Chief:** Planning & Evaluation Section Chief – Participates in development of the division work planning guidance; contributes specific Waste Management information (i.e. funding constraints, target levels of effort and positions to work plan) in consultation with Program Services Chief and WaMT. Works with WaMT members on preparation of individual section and regional contributions to the work plan consistent with the guidance. Facilitates WaMT review, approval and revision of the Waste Management work plan. Works with Bureau Director to resolve differences with internal and external partners. Presents proposed work plan to WaMT for approval and forwards plan to Division management. Delivers final products to the Division according to schedule.

All Section Chiefs – Prepare section work plans and contribute to WaMT review and revision of work plan products. Follow through with staff they supervise to complete specific work activities. Inform Team Leader and/or other WaMT members when changes in staff assignments are needed.

**Bureau Director:** As a member of the Air & Waste Team and in collaboration with WMT, develops biennial work planing objectives consistent with department Strategic Plan and Waste Management Long-term Strategic Direction. Coordinates feedback between the Air & Waste

Team and WaMT on draft objectives. Works with Planning & Evaluation Section Chief/staff and WMT to develop evaluate and revise Waste Management's biennial work plan. Resolves differences with internal and external partners on program priorities and resource allocations in the work plan.

WaMT: Defines overall program priorities. Reviews proposed Team Action Plans and recommends changes as appropriate. Identifies contributions needed from and offered to internal and external partners. Reviews draft Waste Management work plan and resolves issues/discrepancies before the plan is forwarded to the Division and partners. Acts on significant changes to the work plan as needed.

## **F. Identifying and Dealing with Inconsistencies**

Standing Team: A significant role of a team is to recommend that systems are in place to avoid inconsistent decisions and implementation activities. To avoid inconsistency problems, teams should be consulted by staff and/or supervisors for precedent-setting, case-specific issues prior to a decision being made. This does not mean that the team does all the day-to-day work in a program, but concentrates on overall consistent decision-making. Teams should identify the need for new or revised policy to avoid consistency problems. Teams should attempt to achieve consensus during guidance development. Consult Team Sponsor for conflict resolution advice, as needed. Forward and describe any outstanding conflicts on consistency issues to the WaMT.

The Team should assure that consistency decisions which establish precedent or policy are documented as internal guidance and are made electronically accessible to all staff following the process and procedures for the Waste Management program's electronic guidance access system. The Team should work with the Policy and the Planning & Evaluation sections staff.

Occasionally a team may be asked by the WaMT advice on a decision, which has already been made.

Team Leader: Provides advice on issues requiring conflict resolution. Receive reports on inconsistency from department employees & external partners, & ask the Team about the need to develop policy to avoid future inconsistency.

Team Sponsor: Upon request from the Team, provide advice on issues requiring conflict resolution. Receive inconsistency reports from department employees & external partners, & determine appropriate action.

Section Chief: The immediate supervisor where a conflict occurs has primary responsibility to ensure conflict resolution regarding implementation issues. Teams deal with identifying the need for policy to avoid inconsistency problems whereas supervisors are responsible for program implementation by staff to assure that policy is consistently followed. If staff make a decision, which is inconsistent with policy or guidance, the supervisor is responsible for resolving the problem. If the immediate supervisor cannot resolve the issue, the matter is taken to the WaMT. The WaMT provides feedback to help resolve the issue.

Planning and Evaluation Section Chief -Identify consistency issues through evaluation process and raise to Bureau Director/WaMT.

Policy Section Chief – Identify consistency issues through policy development process and raise to Bureau Director/WaMT. During public policy development (rule making), opportunities for conflict resolution lie within the internal review process, the public hearing and comment process, and the Natural Resources Board procedures described in Manual Codes 1021, 1022.4, 1104.1.

Technical Support Section Chief – Identify consistency issues through technical review process and raise to Bureau Director/WaMT.

Bureau Director: Receive implementation conflict resolution summaries from the originating regional team supervisor. Ensure the resolution is documented as guidance. In addition, if the WaMT is not able to resolve an implementation issue, the bureau director, assisted by an Air & Waste regional leader, will be responsible for taking an issue paper describing the case to the Air & Waste Management Team. This may include implementation conflicts involving more than one division. The bureau director will ensure the resolution is documented as guidance.

WaMT: Review and resolve conflicts brought to the WaMT. Decide whether to deal with the issue or direct it to a Team. If the WaMT cannot resolve a policy implementation consistency issue, the matter is to be resolved in accordance with the Air and Waste Division Conflict Resolution Process, described in Chapter 1 of the A&W Division Consistency Plan.

## **IV. Summary / Evaluation**

This document provides definitions of roles and responsibilities of teams and individuals within the Bureau of Waste Management in far more detail than was available at the time our reorganization was first implemented. We prepared this document in an effort to improve the efficiency and effectiveness of our organization and management system in the Bureau of Waste Management. Although there was some sentiment for examining the structural organization of the Bureau as part of this effort, the Bureau Director provided the sideboard that we would not do that. Since our new organizational structure was just being implemented, it was felt that the basic structure of the Sections and the Teams should not be reexamined at this time. As we analyzed the barriers to improved program efficiency and effectiveness with that sideboard, it appeared that lack of adequate definition of roles and responsibilities under our new organization was our biggest problem.

This is by no means the final definition of roles and responsibilities within the Waste Management bureau or the overall program. We are committed to quality improvement in how we do business, and consequently recognize that more improvements and changes will be made. For example, we will develop a guidance and rule development process during 2000, which will further define the roles and responsibilities in this area of work. In order to assess and prioritize future improvements, we will need to measure the performance of our operations, within the context of the roles and responsibilities we are defining in this document.

As part of a learning agency guided by continuous quality improvement principles, the Bureau of Waste Management intends to not only implement these more clearly defined roles and responsibilities, but also to evaluate our success in improvement. Therefore, in approximately one year, during the first quarter of calendar year 2001, the BMT with the WaMT will reexamine the problem definition, the guiding principles and the roles and responsibilities contained in this document. We will look at roles and responsibilities for the regional team and sub-team leaders, and teams, in the future. We will determine if additional improvements in our management system or structure are in order and the results will be shared at that time.